

“Investigate *Before* You Invest”

BEFORE investing your money, ask the person/company who is offering services (investment, insurance, financial, etc.) to complete this form and leave it with you.

1. What product(s) or service(s) are you offering? (Check all that apply)

- | | | |
|---|--|---|
| <input type="checkbox"/> Investments | <input type="checkbox"/> Bonds | <input type="checkbox"/> Mutual Funds |
| <input type="checkbox"/> Investment Advice | <input type="checkbox"/> Stocks | <input type="checkbox"/> Limited Partnerships |
| <input type="checkbox"/> Financial Planning | <input type="checkbox"/> Equipment Leasing Contracts | <input type="checkbox"/> Private Placements |
| <input type="checkbox"/> Real Estate | <input type="checkbox"/> Living Trust | <input type="checkbox"/> Insurance |
| <input type="checkbox"/> Real Estate Trust | <input type="checkbox"/> Annuities | <input type="checkbox"/> Estate Planning |
| <input type="checkbox"/> Promissory Notes | <input type="checkbox"/> Viatical Settlement Contracts | |
| <input type="checkbox"/> Other _____ | | |

2. Who regulates or licenses this product/service?

- | | |
|---|---|
| <input type="checkbox"/> Tennessee Securities Division | <input type="checkbox"/> Tennessee Insurance Division |
| <input type="checkbox"/> Tennessee Real Estate Commission | <input type="checkbox"/> Other (explain/identify) _____ |

3. Is the product approved for sale in Tennessee? ☐ Yes ☐ No If so, by whom? _____

4. What license(s) do you hold that authorizes you to sell this product/service?

LICENSE TYPE	LICENSE INFORMATION
Insurance License	License No: _____
Securities Agent	CRD No: _____ Broker-dealer: _____
Investment Adviser	CRD No: _____ <input type="checkbox"/> State <input type="checkbox"/> SEC
Real Estate License	License No: _____
Other	Explain: _____

If no license is held, why is it not required? _____

5. Seller/Agent Information

Seller/Agent Name: _____

Company/Business Name: _____

Company/Business Address: _____

Securities Sold Through: _____

Phone Number: _____

Email: _____

Seller/Agent Signature: _____ Date: _____

Once the information on the front side of this form has been filled out and left with you, call the appropriate agency to confirm that the person/company holds a valid license (i.e. is **both** licensed and authorized to sell/offer the product to you) **BEFORE** you invest your money with anyone.

NOTE: The fact that a particular investment is properly registered, or exempt from registration, is not a guarantee as to how that investment will perform, or that it is an appropriate investment for you. Only you can decide if you can tolerate the financial risk involved in any investment.



Tennessee Securities Division
800-863-9117 or 615-741-5900
www.state.tn.us/commerce/securities

**Tennessee Real Estate
Commission**
800-342-4031 or 615-741-2273
www.state.tn.us/commerce/boards/trec

**Tennessee Insurance
Division**
888-416-0868 or 615-741-2693
www.state.tn.us/commerce/insurance

A knowledgeable consumer is a safe consumer. Take advantage of the information and programs the Securities Division offers to educate Tennessee investors. Don't invest until **after** you investigate and have completed the "**Four C's**":

Consider your options.

Compare it to others.

Consult with someone you trust.

Call the Securities Division's toll free number: **800-863-9117**



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